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Tenth Meeting of Heads of Technology
Transfer Registries

Cairo, Egypt, 8 - 13 December 1985

TIES PROGRESS REPORT *

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I. Introduction

This document will report on the progress made by TIES in the exchange of information since the last meeting of Heads of Technology Transfer Registries in October 1984 in Beijing, China. The report will briefly describe the current status of TIES information exchange at the various levels (TIES I, IIA, IIB, Service), ad-hoc information exchange, TIES Newsletter and Country profiles. Furthermore it will report on the proposal for a new TIES Coding Form and on the computer information processing changes envisaged at UNIDO Headquarters.

II. Current Status of Information Exchange

A. TIES I

TIES I information, covering aggregate data on such aspects as royalty rates level of foreign holding, supplier country etc. by Industrial Sector, has been exchanged over the period January - June and July - December by the following countries.

	January - June 1984	July - December 1984
Argentina	153	206
Philippines	42	28
Portugal	91	84
Poland	0	0
Peru		104 1/
Egypt		39 2/

1/ Covering 1984

2/ Covering 1984 and agreements associated with foreign investment only

For the preparation of the TIES annual report on technology transfer, aggregate data (however not in TIES I format) was received from Mexico, China and Spain. In this context it must be noted that China submitted detailed TIES I tables over the period 1983, indicating that because of a delay in information processing 1984 TIES I information will be forthcoming. Furthermore Venezuela has prepared TIES I tables over the period of 1984 which have not yet been received at UNIDO Headquarters.

It can be observed that some ten countries are participating at the aggregate level, which is with respect to the previous reporting period some improvements.

B. TIES II

TIES II data, covering information from registered contracts has been exchanged over the period January - June and July December 1984 of the following countries.

TIES II A	January - June 1984	July - December 1984
Poland	0	0
Philippines	153	206
Portugal	91	84
TIES II B		
Colombia	47	
Egypt		39 1/
Peru		104 2/

1/ Covering 1984, TT contracts with DFI only

2/ Covering 1984

It must be noted that Venezuela has indicated that the 1984 TIES II B information has been sent, which has not yet been received. With respect to the commitment of TIES II members it can be observed that no information has been received from Ecuador, Republic of Korea and Nigeria if compared with the previous reporting period. It should be observed that Malaysia and Philippines only participate at TIES I level and that the compatibility problems of computerized information systems of Spain can only be resolved when introducing new TIES format.

C. Service Agreements

No information has been exchanged on service agreements.

III. Special Requests

Special requests have been received from

1.	Nigeria	hotel management contracts	advice has been given on basis of UNIDO experience and information from countries
2.	Malaysia	royalty rates manufacturing disc brace	advice has been given on basis of UNIDO experience and information from countries
3.	Nigeria	level of payment on technical assistance/service agreement in steel industry	advice has been given on basis of UNIDO experience and information from countries
4.	Malaysia	royalty rate on license/technical assistance on packaging material	advice has been given on basis of UNIDO experience and information from countries

5.	Egypt	engineering, instructors fees knowhow agreement manufacturing big boiler and pressure vessels	advice has been given on basis of UNIDO experience and information from countries
6.	Malaysia	evaluation/approval criteria on sales commission agreements	advice has been given on limited UNIDO experience
7.	Venezuela	Technology suppliers for mobile cleaning of high voltage insulators.	request has been transferred to INTIB

The response of the TIES members has been reasonable and assistance has been provided. It must be observed that two requests are related to engineering fees, which will be discussed in a separate paper.

IV. Country Profiles 1984 - 1985

Updated country profiles have been received from China, Colombia, Ethiopia, India, Malaysia, Nigeria, Peru, Philippines, Portugal, Republic of Korea, Argentina, Senegal and Poland. These country profiles have been published in the TIES Newsletter and have also been used as an input to the 1984 annual on trends in technology transfer.

V. New TIES Coding Form and Information Exchange Rules

With respect to the desire to simplify the TIES information exchange procedures and to limit the exchange format to one, a merging and modification of the TIES license and TIES service agreement was proposed. A draft was prepared and discussed. It was then agreed that comments on the proposed new format could be forwarded by 1 March 1985 and that consultation with regional organizations involved with information exchange on technology transfer agreements, SAIT in particular, should be held.

Comments have been received from the SAIT Secretariat and incorporated in the new TIES Coding Form (Annex I) and new TIES information exchange rules (Annex II). The meeting is expected to agree on a final format as to start with this format for the period January - June 1986.

VI. Computer Processing Facilities at UNIDO Headquarters

If from the 1st of January 1986 a new TIES Coding Form will be introduced the present TIES software has to be adapted to this new input format and new information exchange requirements. This software adaptation could be completed before the 1st of July 1986. In order to have quick access to the TIES data base, to be able to organize a bibliographic search and to maintain the possibility of information exchange on tapes, floppies and hard copy, the present batch dual system (TIES license and TIES service) has to be converted to one on-line system on the mainframe accessible through intelligent terminal with possibility of interaction with PC system for local loading/unloading of information. As such TIES data input would be either performed on tape through the main frame or on floppy disc through CORIS/PC, while manual input would be possible through PC or directly through mainframe facilities.

UNIDO

ANNEX I

TIES CODING FORM

I IDENTIFICATION

ID KEY

RECIPIENT COUNTRY CODE

RECIPIENT TYPE

☐ STATE OR GOVERNMENT ☐ PRIVATE ☐ MIXED

☐ CO-OPERATIVES

COUNTRY OF FOREIGN HOLDING

II RECIPIENT

COUNTRY CODE

INDUSTRIAL CODE

FOREIGN HOLDING

RECIPIENT NAME

ADDRESS LINE 1

ADDRESS LINE 2

III SUPPLIER

SUPPLIER NAME

ADDRESS LINE 1

ADDRESS LINE 2

UNCTC-SUPPLIER COMPANY CODE

SUPPLIER COUNTRY CODE

IV CONTRACT (general)

OBJECT _____

_____

_____

INDUSTRY CODE (ISIC)

PRODUCT CODE 1

PRODUCT CODE 2

Contract class

☐ LICENCE ☐ TA ☐ MANAGEMENT ☐ SOFTWARE ☐ JOINT VENTURE ☐ TURN KEY ☐ OTHER

Associated contracts

☐ EQUIPMENT SUPPLY ☐ LOANS ☐ SALES

COMMENTS

PROCESS

PROCESS

CONTRACT DATE OF APPROVAL ____ CONTRACT DURATION ____

COLLABORATION TYPE

- ☐ LEASING FRANCHISING
- ☐ KNOW-HOW
- ☐ TRADE MARK
- ☐ PATENT
- ☐ BASIC ENGINEERING
- ☐ DETAILED ENGINEERING
- ☐ MANAGEMENT OF CONSTRUCTION SET-UP
- ☐ START-UP SUPERVISION
- ☐ PRODUCTION SUPERVISION
- ☐ EQUIPMENT REPAIR AND MAINTENANCE
- ☐ PREINVESTMENT CONSULTING
- ☐ TURN KEY
- ☐ CONSTRUCTION OR SET-UP
- ☐ ADMINISTRATIVE SUPERVISION
- ☐ MARKETING
- ☐ TRAINING
- ☐ TRAINING HOME
- ☐ TRAINING ABROAD
- ☐ QUALITY CONTROL
- ☐ OTHERS

V CONTRACT TERMS

☐ **ROYALTY**

ROYALTY % A (Net sales) ____ ROYALTY % B (Net sales) ____ ROYALTY B LEVEL ____ ROYALTY (Others) ____ DESCRIPTION ROYALTY BASE (If not net sale) ____

COMMENTS _____

_____

☐ **LUMP SUM**

LUMP SUM PAYMENT ____ EXCHANGE RATE ____ CURRENCY CODE ____

COMMENTS _____

_____

☐ **REIMBURSABLE FEES**

	MONTH	DAY	HOUR	EXCHANGE RATE	FEE
☐ PROJECT MANAGER	☐	☐	☐	____	____
☐ SENIOR PROFESSIONAL	☐	☐	☐	____ CURRENCY CODE	____
☐ PROFESSIONAL	☐	☐	☐		____
☐ JUNIOR PROFESSIONAL	☐	☐	☐		____
☐ SENIOR TECHNICAL	☐	☐	☐		____
☐ TECHNICAN	☐	☐	☐		____

COMMENTS _____

_____

_____

PERSONNEL EXPENSES COVERED BY RECIPIENT

- ☐ TRAVEL
- ☐ ACCOMMODATION
- ☐ PAID LEAVE
- ☐ FAMILY TRAVEL/ EXPENSES
- ☐ INSURANCE

GUARANTEES	PENALTIES	DESCRIPTION OF PENALTY
☐ PROCESS PERFORMANCE	☐ PROCESS PERFORMANCE	_____
☐ EQUIPMENT PERFORMANCE	☐ EQUIPMENT PERFORMANCE	_____
☐ TIME	☐ TIME	_____
☐ PATENT VALIDITY	☐ PATENT VALIDITY	_____

ANNUAL APPROVED PAYMENTS _____ TOTAL APPROVED PAYMENTS _____

ANNEX II

TIES INFORMATION EXCHANGE RULES

1. TIES participants are those institutions which exchange information on technology transfer agreements on a confidential, reciprocal, equal and mutual beneficial basis.

2. Each participant will cover the expenditure of processing the information to be exchanged to the required TIES format and will cover the expenditure of forwarding this information to UNIDO.

3. UNIDO will cover the expenditure of processing the information received from the TIES members Institutions and provide the members with a regular update of the database.

4. All TIES participants participate at TIES I level, which is information on the number of contracts by ISIC industry code (four digits) and by duration, type of payment, level of foreign holding, level of royalty, expected payments over duration of contract, yearly payments, collaboration type, supplier country.

5. All TIES participants participate at TIES II level. There are three possible levels of participation namely TIES IIM , TIES II A and TIES II B.

5.1 TIES II M

A periodical exchange of minimum non-financial data on a contract, indicating ID key - recipient country (code), supplier country, supplier name, SITC product code, ISIC industry code, object of the agreement.

Example:

TIES DATA EXCHANGE LEVEL - M PERIOD : 85-1
ID Key : 000010
Recipient country code : POL
Supplier country code : GFR
Supplier company name : NIXDORF COMPUTER AG.

Industry code (ISIC) : 3825
Product code (SITC) : 752.5 ;
Object : **licence for optical character reader with software for computer 1-1**

5.2 TIES II A

The periodical exchange of non-financial data on a contract indicating ID key; information on recipient namely: country code, industrial code, foreign holding, country of foreign holding, company type, name and address; information on supplier namely: name, address, country code, UNCTC code; information on contract namely, object, industry code, product code, contract class, associated contracts, process description, collaboration type, guarantees, penalties.

Example:

```
TIES DATA EXCHANGE LEVEL - A    PERIOD : 80-2
ID Key : 000003
R E C I P I E N T
Country code : POL              Industrial code : 3903
Foreign holding :  37 %     Country of foreign holding :
Company type :  private
Name     : FABRYKA SPRZETU TENISOWEGO S.A.
Address : AL.NIEPODLEGLOSCI 198 ZAGORZE WOJ.BIALOSTOCKIE
S U P P L I E R
Name     : NOKIA AB,OY
Address : MIKONKATU 15,PL 226 SF-00100 HELSINKI 10
Country code : FIN
UNCTC code    : noy0120
C O N T R A C T
Object  : licence for tennis rackets and frames manufacturing
Industry code (ISIC)    : 3903
Product code (SITC)     : 894.72 ;
Contract class : licence
Associated contracts : sales/marketing
Process :
Contract date of approval : 8405          Contract duration :
Collaboration type : know-how
                     trade mark
Guarantees :                                Penalties :
   process performance %                        process performance
   equipment           %                        equipment
   time                %                        time
   patent validity     %                        patent validity
```

5.3 TIES II B

The periodic exchange of non-financial data and detailed information on the financial terms of the contract. This information indicates addition to TIES II A, on contract terms the following: royalty rates, royalty base, lumpsum, level reimbursable fees, currency codes, exchange rates, personal expresses covered by the recipient, annual approved payments, total approved payment.

Example:

```
TIES DATA EXCHANGE LEVEL -B     PERIOD : 80-2
ID Key : 000001
R E C I P I E N T
Country code : POL              Industrial code : 3825
Foreign holding :   0 %     Country of foreign holding :
Company type :  state or government
Name     : INSTALMASZ P.P.
Address  : STAWKI STREET NO.10 GDANSK
S U P P L I E R
Name     : INTERNATIONAL COMPUTERS LTD
Address  : ICL HOUSE.PUTNEY DUBLIN SW15 1SW
Country code : IRE
UNCTC code   : icl0088
C O N T R A C T
Object  : licence for air filters to computer disc drives manufacturin g
Industry code (ISIC)    : 3825
Product code (SITC)     : 759.9  ;
Contract class : licence
Associated contracts : loans
Process :
Contract date of approval : 8409          Contract duration : 05
Collaboration type : know-how
                     trade mark
                     patent
                     preinvestment consulting
                     training
C O N T R A C T   T E R M S
Royalty A % -  3.3
Royalty B % -  0.0  Royalty B level -       0
Description royalty base :
Reimbursable fees
    senior professional      month              Fee :      210
    junior professional      month              Fee :      160
    technician               month              Fee :      100
Currency code         : USA
Exchange rate to US$ : .0094
Comments :
Personnel expenses covered by recipient : accommodation
Guarantees :                              Penalties :
   process performance x                      process performance
   equipment            x                     equipment
   time                 x                     time
   patent validity      x                     patent validity
Annual approved payments :        6280
Total approved payments  :       31400
```

6. All information at TIES I, IIM, IIA, IIB shall be exchanged on a half yearly basis (January - June and July - December)

7. An institute becomes a TIES member when it officially has indicated to the director of the Division of Industrial Studies that it so wishes. An Institute has access to the TIES data case however only when it has submitted to UNIDO for processing and subsequencial exchange a set of information covering a period of six months.

8. UNIDO will use the TIES database only when authorized by the TIES members for the use of studies or advisory services.

9. All TIES member institutions will forwarded to UNIDO its annual report. An updated country profile and other relevant information or studies to be exchanged through publication in the TIES Newsletter or the annual TIES report on trends in technology transfer.

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CORIS DEVELOPMENT STATUS REPORT *

Prepared by

UNIDO secretariat

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INTRODUCTION

The experience accumulated so far by technology transfer registries clearly indicates the importance of an effective organization of the information flows related to registry activities. It was found that improving the system of collecting, storing, processing and disseminating information may substantially contribute to the overall registry performance as well as to the increase of its benefits resulting from the exchange of information within UNIDO's Technological Information Exchange System (TIES) and other international systems.

Consequently, this area has been given increased attention within the co-operative framework of TIES. Following the recommendations of the Seventh Meeting of Heads of Technology Transfer Registries held in New Delhi in December 1982, a project was executed for the development of Compatible Computerized Registry Information Systems 1/ the principal objective of which was to harmonize existing computerized information systems through the development of a common information processing model. This project has been successfully completed and a model computerized registry information system (CORIS) prepared with the assistance of the Foreign Trade Data Centre of Poland.

CORIS has been developed to be useful for three main registry functions, namely:

- evaluation of technology transfer agreements;
- generation of information on approved/registered technology transfer agreements;
- monitoring of implementation of technology transfer agreements.

1/ UC/INT/83/144 - Development of Compatible Computerized Registry Information Systems.

At present the software prepared is applicable on a M24 Personal computer manufactured by Olivetti, Italy using a MS-DOS operating system.

CORIS has also been developed to make participation in TIES possible at the information exchange levels TIES I, TIES IIM, TIES IIA and TIES IIB:

The following are some of the operational characteristics of CORIS:

(a) Introduction of data

The input format of data is determined by the contract card and has been divided into nine different screens - each screen can be completed with relevant data or left blank before continuing to the next screen. It is possible to correct, delete, add, etc. to the information on the screen.

(b) Contract card as an output

The contract card identified by its registration number, can be printed at any time.

(c) Internal monitoring of office performance

Since basic data is entered during registration of the contract prior to its evaluation, it is possible to print those contracts which are under evaluation at any time. Furthermore, assuming that the evaluation department is divided into sectoral groupings, it is possible to summarize the effect of intervention of that sector for any period of years.

(d) Evaluation output formats

The evaluation officer, while reviewing an application for approval of technology transfer agreements, has the possibility of requesting information on approved, rejected and registered contracts in order to quickly find answers to such questions as:

What other contracts does that supplier have?

Are there more contracts of that nature (by product; by industry)?

Has the supplier previously presented a contract which has been rejected?

(e) Monitoring of the implementation of technology transfer agreements

Although monitoring is not always performed by the technology transfer registries, it has been incorporated in CORIS as it is expected that this function will receive increased attention at the registry level. Since monitoring can be divided into a macro and a micro levels (macro meaning aggregate statistical data and micro individual contracts) and since not all contracts can be monitored at the micro level, a mechanism has been introduced, which will enable the official in charge of monitoring to select those contracts which did not fulfill its expected implementation targets from the point of view of effective technology transfer.

CORIS has presented and demonstrated at the Ninth Meeting of Heads of Technology Transfer Registries held in Beijing, China, in October 1984. The participants of the meeting concluded that:

(a) CORIS be further developed to become fully operational on IBM and ;

(b) A detailed users' manual be prepared not only dealing with the technical details of CORIS, but also with the managerial and practical aspects of introducing CORIS at the registry level;

(c) UNIDO, upon request, would prepare specific training courses on various aspects of data base management;

(d) UNIDO would provide assistance on request to adapt and introduce CORIS at the national level.

IBM COMPATIBILITY

In order to reach the objective of IBM compatibility, the CORIS system was prepared on the M24 Olivetti Personal Computer. which is operationally compatible with IBM equipment.

The MS-DOS version available on the M24 corresponds to the Release 2.1 of Microsoft MS-DOS. The MS-DOS operating system has become a standard within the 16-bit personal computer field due to the large distribution and the number of packages available.

All application programs are written in GW-BASIC, which is the most common and the most extensive implementation of BASIC available for personal computers.

In addition, none of special program packages are used by CORIS programs to achieve lower cost of CORIS implementation and meet the objective to be easy adaptable on different types of personal computers.

USE OF CORIS IN DIFFERENT HARDWARE/SOFTWARE ENVIRONMENTS

In order to make use of the CORIS system on personal computers other than the M24 Personal Computer, the general review of the situation should be made and that these are operationally compatible with IBM personal computers. They must use 8088/8086 microprocessors, run top IBM PC labeled software, may use IBM peripheral cards, read/write IBM disks and have the same user interface for display, keyboard and sound. At

present there is a large family of personal computers on the market announced as being IBM PC operationally compatible products. For example, Bytec Hyperion, Columbia Data's MPC, Compac, Eagle PC, ITT XTRA, MAD-1, Sanyo MBC-550, Seequa Chameleon, Sperry PC /Mitsubishi/ and so on, but it should be noted that even the two IBM models of Personal Computer PC and PC-XT are not completely inter-compatible. Furthermore, the basic modules of such personal computers are generally different. For example, the video controller is an integral part of the basic module of the M24 Personal Computer while the functionally equivalent "graphic/coloured" controller is offered as an option to the IBM PC. So the reference to the compatibility of the Olivetti Personal Computer M24 with IBM should be considered as referring to the IBM PC-XT equipped with a graphic controller.

The software available for such personal computers is the next crucial element which should be taken into consideration when choosing the hardware. The operating system must be compatible with MS-DOS, and the GW-BASIC should be the version of BASIC available for such computers. When BASIC other than GW-BASIC is operated on these computers, some adjustments may be necessary for CORIS programmes before running them. The range of changes necessary for programme conversions depends on differences between GW-BASIC and available versions of BASIC.

The above mentioned remarks indicate that the choice of hardware should be made very carefully.

The CORIS system is designed to be fully operational when the hardware contains mass storage devices, namely hard disk. The requirements to operate on the hard disk are resulted from the need to have access to the data base of contracts registered not only in the present year but also in the past. It especially matters when the numbers of contracts registered yearly is exceptionally high. It means that using only diskette drives the data file would be written on for example 30 diskettes and it would be increased year by year. Since CORIS programs and additional working files would be also stored on the diskettes, to process any program the multiple changes of diskettes would be necessary (put in and then take out above 30 diskettes to search the

file from the beginning). Summing up, it means that the overall concept of CORIS would be broken - it would be impossible to process the system not to be familiar with data processing, without knowledge of program names and file names.

SPANISH VERSION OF CORIS

In consultation with experts from INTI (Argentina) and the Foreign Trade Data centre (Poland), CORIS has to become operational in Spanish. Linqual adjustments have been incorporated on the basis of advice received from UNIDO's translation services and INTI. A Spanish model contract card has been prepared and is attached.

CORIS USERS MANUAL

A draft users manual has been prepared by the Foreign Trade Data Centre of Poland. This draft manual includes chapters on:

- Preparation for the effective implementation of CORIS within the Registry
- BASIC description of the CORIS system
- CONTRACT CARD as principal input for the CORIS system
- Operators instructions for CORIS database
- Use of CORIS for major registry functions
- Linkage of CORIS with other databases

The instructions for completing the contract card are of course supplementary to those related to the TIES Coding Form instructions as the TIES Coding Form information is copied from the Contract Card.

A final version of the users manual is expected to be completed during the first half of 1986 after review on the basis of experiences with the implementation of CORIS.

CORIS adaptation and introduction at the national level.

India

Upon request of the government of india a mission of two UNIDO consultants analyzed the possibility of applying CORIS software on information processing abstracted from technology transfer agreements, within the Ministry of Industry and Company Affairs. After having analyzed the present system on approval of foreign collaboration it has been concluded that CORIS could be applied in India without major modifications of the software concerned and the existing information flows.

On this assumption detailed action plan has been prepared for the duration of seven months (Annex II). As a principal prerequisite for the successful implementation of CORIS the nomination of an officer in charge and the acquisition of a IBM compatible PC is required. Particular attention has been given to the possible application of CORIS for monitoring implementation of foreign collaboration agreements.

The principal obstacle in implementing CORIS in India appears to be the lack of funds for acquiring a PC for this purpose.

Argentina

The mission to Argentina in connection with the preparation of CORIS in Spanish has been used to adapt CORIS for the specific requirements for CORIS.

The information system on technology transfer is processed on the VAX 11/780 computer installed outside the register office via one terminal (VT 100) installed in-site. Data base of that system contains all contracts since September, 1977. Despite that fact the possibility of access to the data base is limited because of the multi-user access to the terminal (different departments in the same time, not only the register), short session of connection with the mainframe, frequency of troubles with teletransmission.

Having analyzed the present system and CORIS, it was agreed that the CORIS system could be a substantial help to improve the capability of the national technology transfer register on registering technology transfer contracts, on evaluation such agreements, on generating statistics on approved contracts, on monitoring the implementation of the agreements, to observe effects of the technology transfer contracts on national economy as well as to increase the benefits resulting from the exchange of information on transfer of technology through TIES an other international systems.

It was agreed that to implement the Argentinian computerized registry information system based on the concept and software of CORIS, the following activities are necessary:

1) translation of the CORIS software into Spanish.

2) analysis of the present forms to adapt them for the CORIS requirements.

3) analysis of the CORIS software to adjust it to the needs of the register.

4) conversion of the existing data file into files with CORIS structure.

5) changes in legal solutions to introduce a duty of a presentation of annual reports on the implementation of technology transfer agreements to the registry.

6) making efforts by the register (INTI) to be in possession of a personal computer equipped with color display, printer and hard disk with capacity of at least 20 M Bytes to reach CORIS being fully operational.

7) preparation of a detailed user manual.

8) further development of the system to meet all needs of the registry (after implementation of CORIS).

FINANCIAL SUPPORT FOR CORIS DEVELOPMENT

The software development of CORIS has reached a stage that with little effort CORIS can be adapted for national purposes. The principal constraint however appears to be the financing of either the hardware (e.g. Peru, Argentina) or training of potential users on CORIS. UNIDO is at present in negotiation with a donor country to organize a CORIS training workshop based on the following scenario.

Activities

1. Preparation of national information profile on technology transfer information indicating information flows in the process of evaluation monitoring and other functions of the registries, formats if documents used for collecting, processing, abstracting data and organization of information handling within the registry and nomination of national information experts responsible for design of computerized registry information systems. — TO plus 3 months

2. Training workshop for twelve national information experts for 2 weeks on: design, installation and implementation of computerized registry information system and definition of national requirements on adaptation of CORIS with respect to: — TO plus 8 months

   input/output formats
   hardware information
   flows inside registry

   At the workshop it is expected that each participant becomes familiar with the operating characteristics of CORIS and will become fully acquainted with the potential of personal computers in information processing.

ANEXO I

TARJETA DE CONTRATO

MODELO PARA EL SISTEMA DE INFORMACION DE UN REGISTRO DE TECNOLOGIA

ARCHIVO No. ____
REGISTRO No. ____
CLAVE ID ____ / año

1. RECEPTOR 1.1. ____ CODIGO DE PAIS

1.2. ____ RAZON SOCIAL

1.3. ____ DIRECCION DE LA EMPRESA

1.4. ____ DESCRIPCION DE LA ACTIVIDAD ECONOMICA PRINCIPAL

1.5. ____ Código industrial nacional 1.6. ____ Código industrial CIIU

1.7. ____ Código nacional de empresa 1.8. ____ Código de empresa del C.E.T. de las N.U.

1.9. TIPO DE EMPRESA ☐ estatal ☐ privada ☐ mixta

1.10. ____ % Participación extranjera en el capital 1.11. ____ % Participación de la empresa proveedora en el capital

1.12. ____ * Número de empleados 1.13. ____ * Total de ventas 1.14. ____ % * Total de ventas a-b

*En el año de la solicitud

2. PROVEEDOR 2.1. ____ CODIGO DE PAIS

2.2. ____ RAZON SOCIAL

2.3. ____ DIRECCION DE LA EMPRESA

2.4. ____ CODIGO DE EMPRESA DEL C.E.T. DE LAS N.U.

3. CONTRATO 3.1. TIPO ☐ nuevo ☐ renovación ☐ prórroga ☐ anexo/enmienda ☐ de otro tipo

3.2. ESPECIE DE CONTRATO ☐ licencia ☐ asistencia técnica ☐ gestión ☐ soporte lógico ☐ empresa conjunta ☐ llave en mano ☐ de otra especie

3.3. OBJETO ____

3.4. PROCESO ____

3.5. ____ Código industrial nacional 3.6. ____ Código industrial CIIU 3.7. ____ Código nacional de producto 1 ____ Código nacional de producto 2 3.8. ____ Código de producto 1 (CUCI) ____ Código de producto 2 (CUCI)

3.9. VALIDEZ ____ año ____ mes Fecha inicial ____ año ____ mes Fecha final ____ año ____ mes Fecha de aprobación

3.10. Tipo de colaboración ☐ "Leasing" Concesión ☐ "Know-how" ☐ Marca comercial ☐ Patente ☐ Consultoría previa a la inversión ☐ Llave en mano ☐ Construcción ☐ Ingeniería básica ☐ Ingeniería de detalle ☐ Gestión de la construcción ☐ Supervisión de la puesta en marcha ☐ Producción y supervisión ☐ Reparación y mantenimiento del equipo ☐ Supervisión administrativa ☐ Comercialización ☐ Capacitación ☐ De otro tipo

3.11. Condiciones

3.11.1. Regalía ☐ 3.11.2. Suma global ☐

____ Tasa porcentual A (ventas netas) ____ Tasa porcentual B (ventas netas) ____ Nivel B de regalía ____ Descripción de una base de regalía distinta de las ventas netas ____ Observaciones

____ Pago como suma global ____ Tipo de cambio ____ Observaciones

3.11.3. Honorarios reembolsables ☐ ____ Tipo de cambio

☐ Director de proyecto	☐ Mes	☐ Día	☐ Hora	____ Honorario	☐ Profesional auxiliar	☐ Mes	☐ Día	☐ Hora	____ Honorario
☐ Profesional superior	☐ Mes	☐ Día	☐ Hora	____ Honorario	☐ Técnico superior	☐ Mes	☐ Día	☐ Hora	____ Honorario
☐ Profesional	☐ Mes	☐ Día	☐ Hora	____ Honorario	☐ Técnico	☐ Mes	☐ Día	☐ Hora	____ Honorario

____ Observaciones

3.11.4. GASTOS PERSONALES QUE SUFRAGA EL RECEPTOR

☐ Viajes ☐ Alojamiento ☐ Vacaciones pagadas ☐ Gastos de viaje de la familia ☐ Seguro

4. DATOS DEL PROYECTO

Todos los datos financieros en ___ Código de moneda

	Unidad	Año/1 ESTIMADO	Año/1 EFECTIVO	Año/2 ESTIMADO	Año/2 EFECTIVO	Año/3 ESTIMADO	Año/3 EFECTIVO	Año/4 ESTIMADO	Año/4 EFECTIVO	Año/5 ESTIMADO	Año/5 EFECTIVO
4.1 VOLUMEN DE PRODUCCION											
4.2. VENTAS NETAS											
4.3. EXPORTACIONES											
4.4. IMPORTACIONES											
4.5. GASTOS DE INVESTIGACION Y DESARROLLO											
4.6. EMPLEO											
4.7. UTILIDADES SIN DEDUCIR IMPUESTOS											
4.8. NUMERO DE PERSONAS CAPACITADAS											
4.8.1. EN EL PAIS											
4.8.2. EN EL EXTRANJERO											
4.9. NUMERO DE PERSONAL EXTRANJERO											
4.10 PAGOS ANUALES PREVISTOS											

5. EVALUACION DEL CONTRATO

	FORMA PRESENTADA	FORMA APROBADA
5.1 TOTAL DE PAGOS PREVISTOS POR TECNOLOGIA*		
5.2 TOTAL PREVISTO DE IMPORTACIONES*		
5.3 TOTAL PREVISTO DE EXPORTACIONES*		
5.4. SALDO NETO DE DIVISAS*		
5.5. PROPORCION DEL LICENCIANTE EN LAS UTILIDADES PREVISTAS	...%	...%
5.6. GARANTIAS DE FUNCIONAMIENTO		
5.6.1. VOLUMEN		
5.6.2. CALIDAD		
5.6.3. RENDIMIENTO		
5.6.4. ECONOMIA		
5.7. CAPACITACION		
5.7.1. CALENDARIO DE CAPACITACION		

* Durante el período aprobado

	FORMA PRESENTADA	FORMA APROBADA
5.8. PENAS POR INCUMPLIMIENTO		
5.8.1. VOLUMEN		
5.8.2. CALIDAD		
5.8.3. RENDIMIENTO		
5.8.4. ECONOMIA		
5.8.5. TIEMPO		
5.9. CLAUSULAS RESTRICTIVAS		
5.9.1 DE NO EXCLUSIVIDAD		
5.9.2 RESTRICCIONES DE EXPORTACION		
5.9.3 DERECHO DE SUBLICENCIA		
5.9.4. RESTRICCIONES DE PRECIO		
5.9.5. CLAUSULAS DE APROVISIONAMIENTO		
5.9.6. OBLIGATORIO PROHIBICION DE OTRAS TECNOLOGIAS		

	FORMA PRESENTADA	FORMA APROBADA
5.9.7. CONTROL DE CALIDAD EXCESIVO		
5.9.8. RESTRICCIONES A LA INVEST. Y DES. POR EL RECEPTOR		
5.9.9. DERECHO A UTILIZAR TECNOLOGIA EN OTRAS EMPRESAS LOCALES		
5.9.10. RESTRICCIONES AL VOLUMEN Y ESTRUCTURA DEL PRODUCTO		
5.9.11. EMPLEO OBLIGATORIO DE PERSONAL EXTRANJERO		
5.9.12. RESTRICCIONES PARA DESPUES DEL CONTRATO		
5.9.13. APLICACION DE LA JURISDICCION EXTRANJERA		
5.9.14. CLAUSULAS SOBRE PAGOS POR TECNOLOGIA NO EXPLOTADA		
5.9.15. OBLIGACION DE TRANSFERIR MEJORAS AL PROVEEDOR		
5.9.16 OBLIGACION DE TRANSMITIR MEJORAS DEL PROVEEDOR		
5.9.17. DISPOSICIONES SOBRE VENTAS EXCLUSIVAS		

6. DECISION DEFINITIVA ☐ APROBADO ☐ APROBADO CONDICIONALMENTE ☐ RECHAZADO — OBSERVACIONES

7. VIGILANCIA — OBSERVACIONES

8. FUNCIONARIO EVALUADOR

NOMBRE

CARGO/TITULO DEPTO.

FECHA FIRMA

ANNEX II

Detailed Action Plan for CORIS Implementation in India

NO	ACTIVITIES DESCRIPTION	TIME	INPUTS	OUTPUTS	REMARKS
3.2.1	Decision on implementation of CORIS system	0	Management of the Department of Industrial Development	Start-up of the Project	
3.2.2	Nomination of officer in charge of the implementation of CORIS system within SIA Foreign Collaborations	0	Management of the Secretariat for Industrial Approvals	Officer in charge of the implementation of CORIS system	
3.2.3.	Preparatory works on establishment of the ID Unit within SIA: - major functions of ID Unit - position of the ID Unit within SIA - physical and human resources which should be allocated to the ID Unit - internal organization of the ID Unit - terms of reference for the ID Unit	0 plus 2 months	CORIS officer in charge under supervision and with approval of the Management of the Secretariat for Industrial Approvals	Detailed functional concept of ID Unit organization and activities	
3.2.4.	The modification and adjustment of the Summary Card /Contract Card/ and other relevant documents to the requirements and needs of the SIA and selection of the microcomputer. - Summary Card /Contract Card/ - Application Form FC /Gen/ - Application Form FC /NRI/ - Annual Progress Returns FC - Selection of microcomputer	0 puls 3 months	CORIS officer in charge with assistance of UNIDO consultant /4 weeks/	Modified and adjusted to the SIA needs and requirements. - Summary Card - Application Form FC /Gen/ - Application Form FC /NRI/ - Proforma Report Selected type and configuration of microcomputer	
3.2.5.	Guidelines preparation for CORIS software modification and adjustments to the SIA needs based on the outputs of point 3.2.4.		UNIDO consultant	Prepared detailed guidelines for CORIS software modification and adjustment to the SIA needs	
3.2.6.	Defining standard rules for information on TT agreements flows within the SIA in CORIS system environment	0 plus 4 months	CORIS officer in charge under supervision and with approval of the SIA Management	Approved standard rules for information /documents/ on TT agreements flows within the SIA	
3.2.7.	Acquisition of the selected microcomputers	0 plus 4 months	CORIS officer in charge	Microcomputer ordered	
3.2.8.	Establishment of ID Unit	0 plus 5 months	CORIS officer in charge	Start-up of the ID Unit activities	
3.2.9.	Preparation of Summary Cards /filled in/ based on approved conditionally approved and rejected TT agreements for the period of last five years /1981-1985/	to be established on possible conditions	ID Unit staff members with support of consulting company if necessary	Set of filled in Summary Cards for the period of 1981-1985	
3.2.10.	The modification and adjustments of CORIS software to the SIA needs	0 plus 6 months	Foreign Trade Data Centre, Warsaw, Poland, on agreed with UNIDO bases	Modified and adjusted to SIA needs CORIS software	
3.2.11.	Delivery of CORIS software to the SIA	0 plus 6,5 months	UNIDO Secretariat	CORIS software ready for use delivered to the SIA	

3.2.12.	Installation of the microcomputer	0 plus 6,5 months	CORIS officer in charge	Microcomputer installed	
3.2.13.	Implementation of CORIS system including training of operators and users of SIA CORIS SYSTEM	0 PLUS 7 months	ID Unit staff with assistance of UNIDO consultant /4 weeks/	CORIS system implemented and operators and users of SIA CORIS system trained	

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TRENDS IN REGIONAL INFORMATION EXCHANGE*

Prepared by

UNIDO secretariat

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I. Introduction

Regional Information Exchange on technology transfer agreements have received increased attention and various regional networks have been established. The growing importance can be traced to the realization that common languages, similar industrial development pattern, cultural/historical ties etc. are important elements to ensure a successful information exchange network. TIES has been established as a global network to be beneficial for all institutions involved on the basis that the information exchanged should be valuable to all. To ensure compatibility with regional efforts UNIDO in proposing that the information exchanged through TIES at the TIES IIM level, is considered the core information of both TIES and regional networks.

II. Cooperation TIES/Technological Information Network of Latin America (RITLA)

As recommended by the Ninth Meeting of Heads of Technology Transfer Registries a meeting has been organized in January 1985 between the Secretariat of TIES and RITLA. The principal objective of this meeting was to agree on a modus-operandi for a cooperation taking into consideration the similar mandates of both UNIDO and RITLA in the Latin America region in this field of activity.

It was agreed, subject to written confirmation by the RITLA Secretariat that, in accordance with the conclusion contained in para 10 of the report of the Ninth Meeting of Heads of Technology Transfer Registries, RITLA will review the proposed levels of information exchange on technology transfer agreements (TIES I, TIES IIM, TIES IIA, TIES IIB) and inform UNIDO of any changes to be incorporated in the final format acceptable to RITLA, SAIT and other regional organizations.

In accordance with para 12 of the report of the First Latin American Meeting of Heads of Technology Transfer Registries, RITLA will do its best to facilitate the cooperation of all RITLA member countries in TIES, taking note that Argentina and Venezuela are already participating directly in TIES.

Considering that the lack of skilled people in information handling may hamper the organization of technological information flows among developing countries and recognizing the increasing tendency to introduce advanced technologies in information handling, it is agreed by both organizations to establish a comprehensive joint training programme in the area of technological information handling. A detailed outline of such a training programme will be prepared and a financial organization will be approached for their support.

Observing that there exists no systematic collecting and exchanging of technologies available from developing countries and having assessed UNIDO's pilot project proposal on information exchange on technologies available from Latin America to the dairy sector as a valuable contribution towards the development of a methodology and mechanism for such information exchange, it was agreed that the experience of RITLA in the technological information exchange in specific sections (tropical wood, food processing, etc.) will be a valuable contribution factor for this pilot project and that its execution will therefore be implemented in close coordination with RITLA.

This cooperation agreement will be subject to an annual review which will be held simultaneous with the annual meeting of Latin America Heads of Technology Transfer Registers.

So far no confirmation of this agreement has been received from the RITLA Secretariat and it must be concluded that from an operational view point the RITLA/TIES cooperation is now existent.

III. TIES/SAIT Cooperation

A common SAIT/TIES format in Spanish for information exchange on technology transfer agreement was agreed upon and a Spanish coding manual was prepared. The joint SAIT/TIES coding manual contains the TIES IIB information set supplemented with information specifically required for SAIT information exchange proposal.

In order to use the existing computerized information exchange processing facilities and pending modifications of the TIES coding form to include all the TIES/SAIT information fields, it has been decided that only the TIES IIB part of the SAIT/TIES format is processed at UNIDO Headquarters according to the following information exchange procedures.

1) SAIT/TIES focal points complete SAIT/TIES coding forms on a half yearly basis and forward them to UNIDO.

2) UNIDO processes the TIES IIB part of the SAIT/TIES coding forms and will make printouts for distribution to the SAIT/TIES focal points and the SAIT Secretariat.

3) UNIDO will process the complete TIES/SAIT coding forms once the processing facilities at UNIDO Headquarters have been adapted to the new TIES coding form.

Further areas of cooperation have been identified however financial constraints have prevented so far to implement their potential cooperative activities. These activities included among others:

1) Organization of three training seminars on evaluation of technology transfer agreements in Brazil, Mexico and Argentina in order to share experiences of these countries for a duration of two weeks.

2) Active support of the SAIT Secretariat to the analysis on commercialization of software through the contribution of a country summary of each Andean country which would include national policies, number and type of software contracts registered, payments authorized for such contracts.

3) Information exchange on technologies available in the Latin American Region for commercialization.

IV. TIES/African TIES Cooperation

The inaugural meeting of the Pilot Project on Technological Information Exchange System (AFRICA TIES), organized jointly by the African Regional Centre for Technology (ARCT) and the United Nations Industrial Development Organization (UNIDO) was held in Dakar, Senegal, from 1st to 3rd October 1985.

The objective of the meeting was to discuss the modalities of setting up AFRICA TIES and to draw up a detailed plan of action as well as the resource requirements for its implementation.

The meeting was attended by representatives of Cameroon, Ethiopia, Nigeria, Senegal and Tunisia.

African participation in TIES has not been encouraging owing to the kinds of technological information required by the network and the conditions stipulated for participation. But TIES has made positive contributions (by way of assistance it gives) to national institutions and enterprises while negotiating technological agreements. This justifies the decision to regionalize TIES activities.

The meeting decided that the focus of AFRICA TIES should be their priority sectors set within the framework of the Lagos Plan of Action. The exchange of information among African countries would cover the terms and conditions of technological acquisition broadly as well as the financial, legal, and technical aspects of technology transfer.

At the national level, a focal point would be identified for co-ordinating technological information and for participating in the activities of the network; while at the regional level, the ARCT would be the focal point for AFRICA TIES. ARCT would therefore take the lead in coordinating activities of the national focal points at the regional level. UNIDO as well as other interested organizations would be requested to support the ARCT in its efforts to set up and coordinate the network.

The project would start functioning at first with the countries that participated in this inaugural meeting and other selected countries (Algeria, Ivory Coast, Egypt, Kenya, Zimbabwe) which would be contacted by ARCT to confirm their intention to participate.

ARCT and UNIDO would constitute the Co-ordinating Committee for the network to follow-up, monitor and evaluate its activities of the network.

Meetings of the network will be held every year alternatively among participating countries.

V. TIES/ASTIS Cooperation

A regional project of the Governments of Thailand, Indonesia, Malaysia, Singapore, Philippines and Brunei on Information Exchange System for Technology Transfer in ASEAN countries has been approved.

The basic objective of the project is to create communication links for the exchange of information on technology transfer through licensing agreements and joint ventures with foreign partners in the form of the ASEAN Technology Information System (ASTIS). Participating countries will be able through such a regional system to exchange information on payments, onorous conditions and availability of technology in their countries if they are faced with negotiations of technology agreements and gain access also to the information available with TIES and INTIB on technology acquired on conditions negotiated by non-Asean countries.

The output of the projects consists mainly of a stock-taking of facilities available in individual Asean countries for handling technology information, a framework for cooperation, a manual of operation of ASTIS, recommendations for the computerization of the system (hardware and software), a workshop for instruction of staff of national focal points, training of officials in more advanced technology registries in other countries and participation of officials in regular UNIDO TIES meetings. First coordinators' meeting has been scheduled to take place on 28-29 November 1985.